

JAN 08 2008

3984

PTO/SB/07 (12-97)

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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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In re: Gregg Freishtat et al.  
 Case: P3984 Application No.: 09/839,735 Filing date: 04/20/2001  
 Art Unit: 3693 Examiner: Stefanos Karmis  
 Subject: System and Method for Syndicated Transactions

**Certificate of Transmission under 37 CFR 1.8**

Attention: Stefanos Karmis, Examiner

**Fax No.: (571) 273-8300**

I hereby certify that this correspondence is being facsimile transmitted to the  
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Sheri Beasley  
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**Total Sheets Transmitted - 10**

1. Response to Notice of Non-Compliance - 1 sheets
2. Response F - 7 sheets
3. Copy of Notice of Non-Compliant Amendment - 1 sheet
4. Certificate of Transmission - 1 sheet

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**Notice of Non-Compliant  
Amendment (37 CFR 1.121)**

Application No.

09/839,735

Applicant(s)

FREISHTAT ET AL.

Examiner

Stefano Kamis

Art Unit

3693

*-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --*

The amendment document filed on 28 September 2007 is considered non-compliant because it has failed to meet the requirements of 37 CFR 1.121 or 1.4. In order for the amendment document to be compliant, correction of the following item(s) is required.

**THE FOLLOWING MARKED (X) ITEM(S) CAUSE THE AMENDMENT DOCUMENT TO BE NON-COMPLIANT:**

- 1. Amendments to the specification:
  - A. Amended paragraph(s) do not include markings.
  - B. New paragraph(s) should not be underlined.
  - C. Other \_\_\_\_\_
- 2. Abstract:
  - A. Not presented on a separate sheet. 37 CFR 1.72.
  - B. Other \_\_\_\_\_
- 3. Amendments to the drawings:
  - A. The drawings are not properly identified in the top margin as "Replacement Sheet," "New Sheet," or "Annotated Sheet" as required by 37 CFR 1.121(d).
  - B. The practice of submitting proposed drawing correction has been eliminated. Replacement drawings showing amended figures, without markings, in compliance with 37 CFR 1.84 are required.
  - C. Other \_\_\_\_\_
- 4. Amendments to the claims:
  - A. A complete listing of all of the claims is not present.
  - B. The listing of claims does not include the text of all pending claims (including withdrawn claims)
  - C. Each claim has not been provided with the proper status identifier, and as such, the individual status of each claim cannot be identified. Note: the status of every claim must be indicated after its claim number by using one of the following status identifiers: (Original), (Currently amended), (Canceled), (Previously presented), (New), (Not entered), (Withdrawn) and (Withdrawn-currently amended).
  - D. The claims of this amendment paper have not been presented in ascending numerical order.
  - E. Other: \_\_\_\_\_
- 5. Other (e.g., the amendment is unsigned or not signed in accordance with 37 CFR 1.4):

For further explanation of the amendment format required by 37 CFR 1.121, see MPEP § 714.

**TIME PERIODS FOR FILING A REPLY TO THIS NOTICE:**

1. Applicant is given **no new time period** if the non-compliant amendment is an after-final amendment or an amendment filed after allowance. If applicant wishes to resubmit the non-compliant after-final amendment with corrections, the **entire corrected amendment** must be resubmitted.
2. Applicant is given **one month**, or thirty (30) days, whichever is longer, from the mail date of this notice to supply the correction, if the non-compliant amendment is one of the following: a preliminary amendment, a non-final amendment (including a submission for a request for continued examination (RCE) under 37 CFR 1.114), a supplemental amendment filed within a suspension period under 37 CFR 1.103(a) or (c), and an amendment filed in response to a Quayle action. If any of above boxes 1. to 4. are checked, the correction required is only the **corrected section** of the non-compliant amendment in compliance with 37 CFR 1.121.

**Extensions of time** are available under 37 CFR 1.136(a) **only** if the non-compliant amendment is a non-final amendment or an amendment filed in response to a Quayle action.

**Failure to timely respond** to this notice will result in:

Abandonment of the application if the non-compliant amendment is a non-final amendment or an amendment filed in response to a Quayle action; or

Non-entry of the amendment if the non-compliant amendment is a preliminary amendment or supplemental amendment.

Legal Instruments Examiner (LIE), If applicable

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
**Art Unit: 3693 Examiner: Stefanos Karmis**

In Re: Gregg Freishtat et al.  
Case: P3984  
Serial No.: 09/839,735  
Filed: 04/20/2001  
Subject: System and Method for Syndicated Transactions

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**Response to Non-Compliant Amendment**

A notice of non-compliant was mailed in the above-referenced case on 12/26/2007 regarding a response filed in the case on 09/28/2007. A corrected version of the response follows. Please deduct any required fees from deposit account 50-0534.

Respectfully submitted,  
Gregg Freishtat et al.

By Donald R. Boys  
Donald R. Boys  
Reg. No. 35,074

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